

STATE OF WASHINGTON
2006 FYE INVESTMENT ADVISER REQUIREMENTS

Firm Name _____ IARD No. _____

Form ADV

Please check one of the following:

☐ I have reviewed my firm's Form ADV Part 1 and no changes are necessary.

☐ I have reviewed the Part 1 and an amendment has been filed on IARD.

Please check one of the following:

☐ I have reviewed my firm's Form ADV Part II and no changes are necessary.

☐ I have reviewed the Part II and an amendment has been filed with the Division or is enclosed.

Net Worth Requirement

Please attach your balance sheet to this form (if you have already filed the balance sheet please check here ☐). The balance sheet should be prepared in accordance with generally accepted accounting principles.

The firm's fiscal year ends on: _____ month _____ day

Is the firm able to meet its obligations and pay its debts as they come due in the ordinary course of business? ☐ Yes ☐ No

Note: If the firm has discretion the balance sheet must show net worth of at least \$10,000, and if the firm has full custody of client funds the net worth requirement is \$35,000.

Does the firm have discretion? ☐ Yes ☐ No

Does the firm have custody? ☐ Yes ☐ No

Is "Yes" checked only because the firm deducts fees from client accounts? ☐ Yes ☐ No

If the balance sheet does not show sufficient net worth does the firm have one of the following it is relying on to meet net worth requirements:

☐ Surety bond in the amount of \$ _____

☐ Subordination agreement

I certify that I am a principal of the adviser and have reviewed the balance sheet.

Name

Phone Number

Title

Date

Please return this form and the balance sheet by March 31, 2007 to: Bruce Johnson, Securities Division, PO Box 9033, Olympia, WA 98507-9033 FAX 360-704-6981 Phone # 360-902-8781